
Kentucky Information Technology Standards (KITS) Exception Process System Guide

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Division of Enterprise Architecture
Office of Enterprise Technology
Commonwealth of Kentucky

Document Information

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Reviewers and Sign-off

| Name | Role | Sign-off comments |
|-----------------|------|-------------------|
| Stephens, Scott | | |
| Mohan, Krishna | | |
| | | |
| | | |
| | | |

References

| Name of Document | Link/Location |
|------------------|---------------|
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| | |

Documentation Location

This document is located in the following SharePoint document library:

https://cg.ky.gov/exe/EA/EA%20Site%20Documentation/User_Guides

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Introduction

This User Guide describes the Kentucky Information Technology Standards (KITS) Exception Process for requesting a Commonwealth Office of Technology (COT) Information Technology Standards Committee (ITSC) standards exception, modification, or addition. This process is initiated by completing an ITSC Exception/Addition/Modification Request eForm located on the Enterprise and Architecture and Standards web site.

<http://technology.ky.gov/governance/Pages/OverviewofenterpriseITPolicyStandards.aspx>

This new process will reduce the need for the manual COT-F026 and COT-F027 forms, by permitting requests to be submitted via the KITS eForm. The manual F-027 form will remain available for use as needed and the F026 form will be eliminated.

The KITS eForm is available to users that can access the Kentucky Collaborative Work Environment

<https://cg.ky.gov/Pages/CWE-Home-Page.aspx>



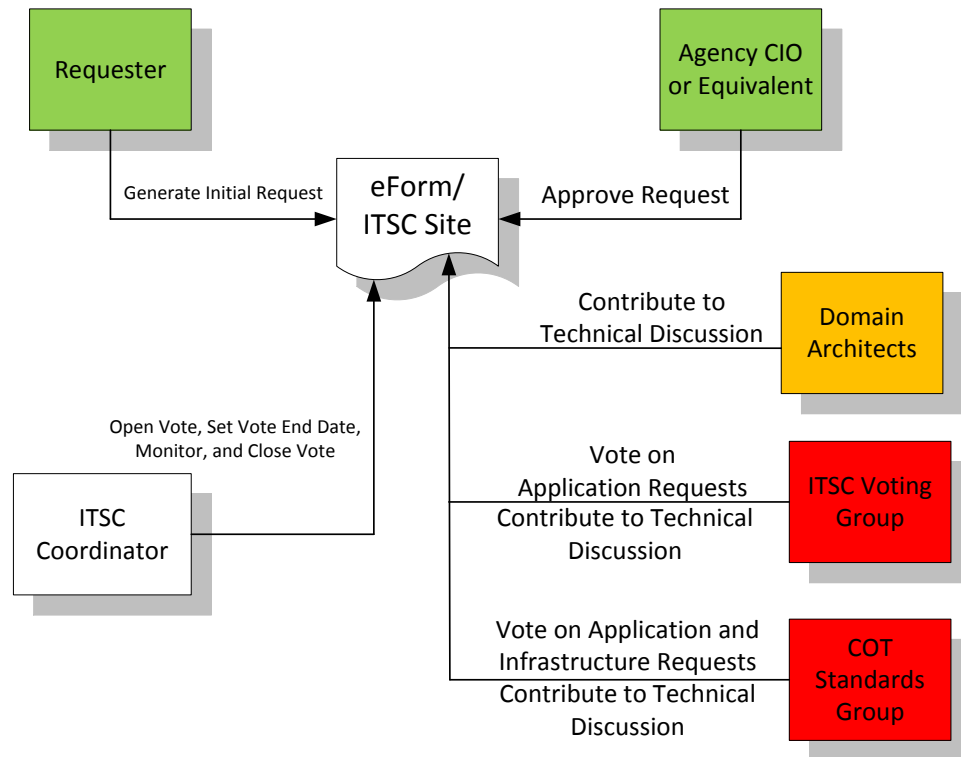
KITS Exception Process Overview

The following two diagrams illustrate the Roles and Responsibilities map, followed by a List of Roles and Responsibilities, and the KITS eForm Workflow Overview process divided into swim lanes.

Roles and Responsibilities

KITS eForm/ITSC Site Roles

Roles & Responsibilities Map



List of Roles & Responsibilities

Agency CIO or Equivalent: Approve business need and budget authority.

COT Standards Group: All voting and discussion.

Domain Architect: Lead and contribute to technical discussion.

ITSC Coordinator: Manual admin checks and facilitation.

ITSC Voting Group: Application voting and all discussion.

Requester: Initiate request for technology.

Commonwealth CIO: Responsible for KITS (approve/Deny) based on Commonwealth Architecture requirements and owns the KITS/ITSC Approval Process

Figure 1 - Roles & Responsibilities Map

KITS eForm Workflow Overview

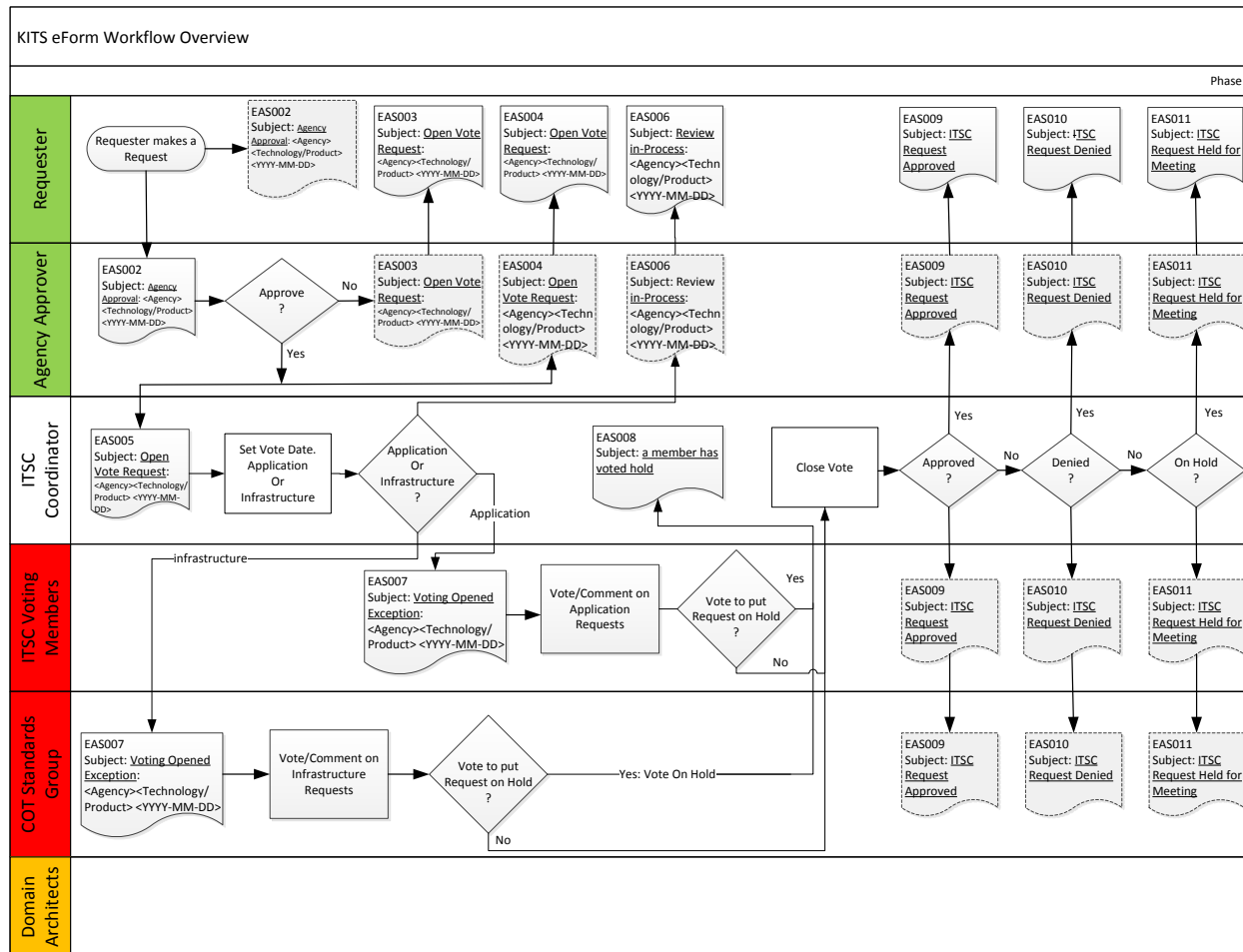


Figure 2 - KITS eForm Workflow Overview

Request Form

Agencies requesting the purchase of products and services outside the parameters of the KITS must, regardless of cost, develop an exception business case supporting their request. The request and business case should be approved by the agency's highest ranking IT officer or their designee and submitted to the Division of Enterprise Architecture of COT's Office of Enterprise Technology (OET). Upon receipt, OET will review and respond to requests within five (5) business days. Exceptions/Additions/Modifications to KITS are made by the Information Technology Standards Committee (ITSC) with the approval of the Commonwealth CIO. (The CIO may approve or deny requests for Exception/Addition/Modification to KITS independently of ITSC decisions).

The Exception/Addition/Modification Request Form (eForm) shall be used for documenting the business case and requesting an exception or a change to standards. The business case must develop specific justification for the limited use procurement of non-compliant IT products and/or services. The justification must make a strong and compelling business case of why the purchase is in the best interest of the Commonwealth.

Note: the approval for an exception, addition, or modification to KITS does not address whether a procurement vehicle exists or whether an existing vehicle may be used by the requestor.

- Questions about the content of the KITS Exception Request template may be directed to the Director of Enterprise Architecture.
- Submission of eForm will generate an email to the selected Requesting Agency Officer to approve.
- Once the Agency Officer has approved, and email will be sent to:
COT Division of Enterprise Architecture at: EASStandards@ky.gov. This email is the equivalent of an electronic signature.

Request Information Section

| REQUEST INFORMATION | |
|--|----------------------|
| Request Type | <input type="text"/> |
| Request Date | 7/6/2015 |
| Requesting Agency | <input type="text"/> |
| Business Unit: | <input type="text"/> |
| Can't find Requesting Agency? Click Here | |
| Requested By | Michal, Terry |
| Contact Info | 502-564-6478 x2685 |
| Agency CIO or Equivalent | <input type="text"/> |
| The exception request must be approved by the agency's highest ranking IT officer, usually the ITO or CIO, before the request goes to the ITSC Committee. | |
| Agency BRM: | <input type="text"/> |
| Was this issue / request placed on Hold during the SPR1 process? <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| Was this issue discussed in an Internal Architecture Design Review meeting and/or an Information Technology Standards Committee meeting? <input type="radio"/> Yes <input checked="" type="radio"/> No | |

After selecting a **Request Type** of Exception, the **Exception Request Section** opens.

| Commonwealth Office of Technology Information Technology Standards Committee Exception/Addition/Modification Request Form | |
|--|----------------------|
| COT-F027 Revised for Electronic Submission - March 2015 Sent to the Information Technology Standards Committee upon Submission ITSC Exception Request eForm Instructions | |
| *Indicates a Required Field | |
| REQUEST INFORMATION | |
| Request Type | Exception |
| Request Date | 8/2/2015 |
| Requesting Agency | <input type="text"/> |
| Business Unit: | <input type="text"/> |
| Can't find Requesting Agency? Click Here | |
| Requested By | Michal, Terry |
| Contact Info | 502-564-6478 x2685 |
| Agency CIO or Equivalent | <input type="text"/> |
| The exception request must be approved by the agency's highest ranking IT officer, usually the ITO or CIO, before the request goes to the ITSC Committee. | |
| Agency BRM: | <input type="text"/> |
| EXCEPTION REQUEST | |
| EAS Domain | <input type="text"/> |
| EAS Standard | <input type="text"/> |
| KITS Domain Area Category: | <input type="text"/> |
| Need help finding this information? Click Here | |
| Technology/Product | <input type="text"/> |
| Was this issue/request placed on Hold during the Strategic Procurement Request (SPR) process? <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| Was this issue discussed in an Internal Architecture Design Review meeting and/or an Information Technology Standards Committee meeting? <input type="radio"/> Yes <input checked="" type="radio"/> No | |

Request Type: Select Exception, Modification, or Addition to the current standards. Note that after selecting the **Request Type**, the corresponding **Request Type Section** is opened

Request Date: Auto-populated with today's date but can be changed by clicking the Calendar control on the right.

Requesting Agency: Select an agency from the dropdown list.

If you can't find your agency, click the "[Click Here](#)" link next to the "Can't find Requesting Agent?" message for further instructions.

Business Unit: Select a business unit from the dropdown list.

Requested By: Auto-populated based on requester's login account

Contact Info: Auto-populated based on requester's login account.

Agency CIO or Equivalent: This dropdown list is auto-populated based on the **Requesting Agency** and **Business Unit** selected. Select an approver.

Agency BRM: Auto-populated based on the selection made in the **Agency CIO or Equivalent** dropdown list.

<Request Type> Request Section

| EXCEPTION REQUEST | |
|--|----------------------|
| EAS Domain | <input type="text"/> |
| EAS Standard | <input type="text"/> |
| KITS Domain Area Category: | <input type="text"/> |
| Need help finding this information? Click Here | |
| Technology/Product | <input type="text"/> |
| Was this issue/request placed on Hold during the Strategic Procurement Request (SPR) process? <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| Was this issue discussed in an Internal Architecture Design Review meeting and/or an Information Technology Standards Committee meeting? <input checked="" type="radio"/> Yes <input type="radio"/> No | |

After the Request Type is selected in the **Request Type** field, the corresponding <Request Type> Request Section is open: Exception, Modification, or Addition.

EAS Domain: Select a legacy EAS Domain.

EAS Standard: Select a legacy EAS Standard associated with the selected **EAS Domain**. The **KITS Domain Area Category** is then auto-populated.

KITS Domain Area Category: Auto-populated after selecting the **EAS Standard**.

For help finding KITS Domain, Area, or Category information click the [Click Here](#) link next to the “Need help finding this information?” message.

Technology/Product: Enter the technology or product you are requesting.

Note: Please use the original manufacture published product name.

Strategic Procurement Request (SPR) Process Section

| EXCEPTION REQUEST | |
|--|----------------------|
| EAS Domain | <input type="text"/> |
| EAS Standard | <input type="text"/> |
| KITS Domain Area Category: | <input type="text"/> |
| Need help finding this information? Click Here | |
| Technology/Product | <input type="text"/> |
| Was this issue/request placed on Hold during the Strategic Procurement Request (SPR) process? <input checked="" type="radio"/> Yes <input type="radio"/> No | |
| STRATEGIC PROCUREMENT REQUEST (SPR) PROCESS | |
| Provide the Document ID (Strategic Procurement Request number) as referenced in the notice (email) | <input type="text"/> |
| Was this issue discussed in an Internal Architecture Design Review meeting and/or an Information Technology Standards Committee meeting? <input checked="" type="radio"/> Yes <input type="radio"/> No | |

If the 'Yes' radio button is selected for the question **"Was this issue/request placed on Hold during the Strategic Procurement Request (SPR) process?"** then the SPR Process section is opened.

Provide the Document ID (SPR number) as referenced in the notice (email): Enter the SPR number.

Review Meeting Section

| EXCEPTION REQUEST | |
|--|---|
| EAS Domain | <input type="text"/> |
| EAS Standard | <input type="text"/> |
| KITS Domain Area Category: | <input type="text"/> |
| Need help finding this information? Click Here | |
| Technology/Product | <input type="text"/> |
| Was this issue/request placed on Hold during the Strategic Procurement Request (SPR) process? <input type="radio"/> Yes <input checked="" type="radio"/> No | |
| Was this issue discussed in an Internal Architecture Design Review meeting and/or an Information Technology Standards Committee meeting? <input checked="" type="radio"/> Yes <input type="radio"/> No | |
| REVIEW MEETING | |
| Meeting Information | <input checked="" type="checkbox"/> IAD Review Meeting <input type="checkbox"/> ITSC Meeting |
| IAD Meeting Date | <input type="text"/> |
| ITSC Meeting Date | <input type="text"/> |

If the 'Yes' radio button is selected for the question **"Was this issue discussed in an Internal Architecture Design Review meeting and/or an Information Technology Standards Committee meeting?"**, then the **Review Meeting Section** is opened.

Meeting Information: IAD Review Meeting and/or ITSC Meeting check boxes.

IAD Meeting Date: Enter the date.

ITSC Meeting Date: Enter the date.

Business Case Section

| BUSINESS CASE |
|--|
| Business Justification Explain why this problem cannot be solved by using products or processes currently included in the KITS. In the justification, be sure to explore possible alternate approaches and explain why they would not be workable in this instance. Extra sheets can be attached if necessary. |
| Business and IT Implications, Benefits, and Consequences (Including Support Cost) Discuss any special implications and consequences that would result from the approval of this exception. Also include a brief summary of the benefits that would be derived from approval. |
| Risk Mitigation Describe the agency's plans for mitigating any special risks that would be present as a result of this exception being approved. |
| If relevant, provide URL of web site(s) where additional product information can be researched If this request is for a specific product please list any web site URLs that would be helpful to the review committee during the research process. Be certain the URL is complete and accurate. |

Provide business justification, implications, benefits, consequences, risk migration, and links to additional product information concerning this request.

For help completing this section contact your Business Relationship Manager (BRM).

Attachments Section & Submit Request

| ATTACHMENTS |
|--|
| <input type="button" value="Click here to attach a file"/> |
| <input type="button" value="Save Without Submit"/> <input type="button" value="Cancel"/> <input type="button" value="Submit"/> |

This section allows adding attachments.

At the end of the form the requester clicks the Submit button to submit the request for agency approval.

To retrieve "Save Without Submit" requests or to review/access your requests, click the Open Requests link on the Enterprise Architecture and Standards site:

https://cg.ky.gov/exe/EA/ITSC/_layouts/15/start.aspx#/Lists/ExceptionRequestForm/My%20Requests.aspx

Submitted Request

ITSC Form

Create a New Request

+ new item

In Process Requests All Items My Requests ... Find an item

| Exception Request | Status | Discussion | Modified By |
|--|--------------|---|---|
| RequestType: Exception (3) | | | |
| Exception Boards and Commissions 12:56AM_TestSP3 2015-07-22 | ... | Agency Officer Review | <input type="checkbox"/> Michal, Terry (CHFS OATS DIUS) |
| Exception Boards and Commissions 0112PMTTest_SPS 2015-07-21 | ... | Agency Officer Denied | <input type="checkbox"/> Joseph, Jiju (COT) |
| Exception Boards and Commissions 12:46PMTTest_SPS 2015-07-21 | Under Review | https://cg.ky.gov/exe/EA/ITSC/Lists/ExceptionRequestDiscussion/152_000 | <input type="checkbox"/> Stephens, Scott (COT) |

From: Information Technology Standards Committee <DoNotReply@ky.gov> Sent: Wed 7/22/2015 1:02 PM

To: Joseph, Jiju (COT)

Cc: Michal, Terry (CHFS OATS DIUS)

Subject: Agency Approval: Exception Boards and Commissions 12:56AM_TestSP3 2015-07-22

A Kentucky Information Technology Standards (KITS) **Exception** Request has been made by Michal, Terry (CHFS OATS DIUS) and needs your approval.

Once this request has been approved by the agency's highest ranking IT officer or designee (in accordance with IT contact information provided to the Office of IT Service Management) it will be submitted to the Division of Enterprise Architecture, Office of Enterprise Technology for processing on behalf of the Information Technology Standards Committee (ITSC). If you approve this request, you and the requestor will be notified when the ITSC has begun deliberations and again when a determination has been made regarding this request.

Should the request be denied by the ITSC without agency concurrence, the decision can be appealed to the Commonwealth's Chief Information Officer.

Please click the following link for more information and to approve or deny the request: [Link to Request](#)

[Exception Boards and Commissions 12:56AM_TestSP3 2015-07-22](#)

After submitting a request, the Request List is displayed showing the Request just made. Status of Request is "Agency Officer Review"

After submitting the Request the agency approver receives an e-mail with the requester cc'd. The e-mail Subject is in the following format: Agency Approval: <Agency> <Technology/Product> <YYYY-MM-DD>

For example, the e-mail on the left, Subject line is "Agency Approval: Exception Boards and Commissions 12:56AM_TestSP3 2015-07-22"

Agency Officer Approval

After a requester completes the Request form and clicks the Submit button an email is sent to the Agency CIO or Equivalent as specified on the Request Form

From: Information Technology Standards Committee <DoNotReply@ky.gov> Sent: Wed 7/22/2015 1:02 PM

To: Joseph, Jiju (COT)

Cc: Michal, Terry (CHFS OATS DIUS)

Subject: Agency Approval: Exception Boards and Commissions 12:56AM_TestSP3 2015-07-22

A Kentucky Information Technology Standards (KITS) **Exception** Request has been made by Michal, Terry (CHFS OATS DIUS) and needs your approval.

Once this request has been approved by the agency's highest ranking IT officer or designee (in accordance with IT contact information provided to the Office of IT Service Management) it will be submitted to the Division of Enterprise Architecture, Office of Enterprise Technology for processing on behalf of the Information Technology Standards Committee (ITSC). If you approve this request, you and the requestor will be notified when the ITSC has begun deliberations and again when a determination has been made regarding this request.

Should the request be denied by the ITSC without agency concurrence, the decision can be appealed to the Commonwealth's Chief Information Officer.

Please click the following link for more information and to approve or deny the request: [Link to Request](#)

[Exception Boards and Commissions 12:56AM_TestSP3 2015-07-22](#)

ATTACHMENTS

Click here to attach a file

AGENCY OFFICER APPROVAL

☒ By selecting this checkbox I, **Michal, Terry** acknowledge I am the highest ranking IT officer of agency:

An **Agency Approver** receives an e-mail from a Requester containing a link to the Request.

Clicking the link opens the Request.

The **Agency Approver** checks the checkbox acknowledging authority to approve this request and then clicks the **Approve** button to submit the request to the **ITSC Coordinator** to open the vote, set vote end date, monitor, and close vote.

ITSC Coordinator

From: Information Technology Standards Committee <DoNotReply@ky.gov> Sent: Wed 7/22/2015 2:11 PM

To: Jernigan, Erin (COT); Michal, Terry (CHFS OATS DIUS); Stephens, Scott (COT)

Cc: Open Vote Request: Exception Boards and Commissions 12:56AM_TestSP3 2015-07-22

Subject: Open Vote Request: Exception Boards and Commissions 12:56AM_TestSP3 2015-07-22

A Kentucky Information Technology Standards (KITS) **Exception** Request made by Michal, Terry (CHFS OATS DIUS) has been approved by the Agency Officer, Joseph, Jiju (COT).

To create the Voting and Discussion items, the Voting Close Date must be set.

This request can be found at the following link: [Exception Boards and Commissions 12:56AM_TestSP3 2015-07-22](#)

ATTACHMENTS

Click here to attach a file

REVIEW

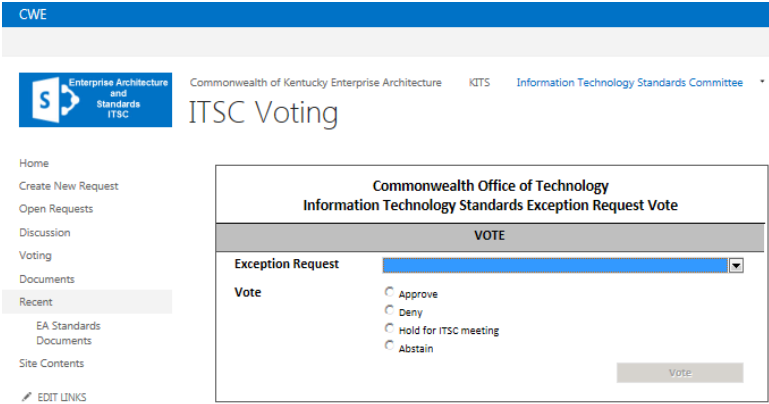
Voting Group:

Scheduled Voting Close Date:

ITSC Coordinators receive an e-mail with a link to the Request after approval by the **Agency CIO or Equivalent**.

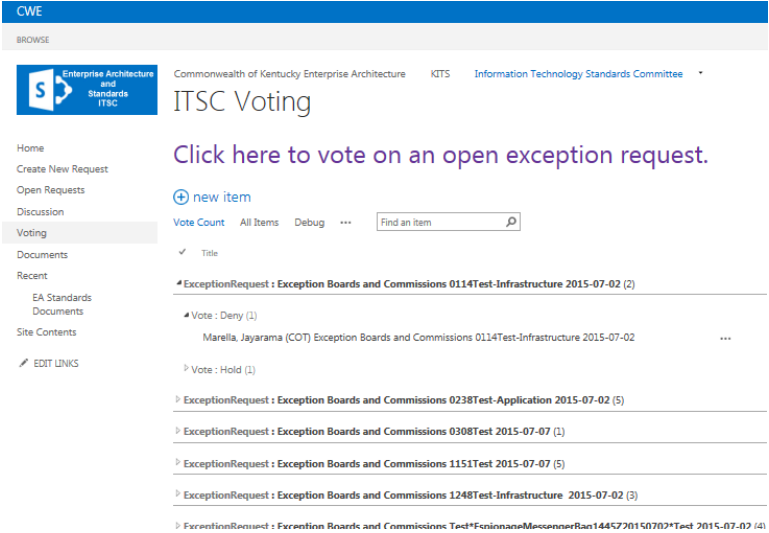
ITSC Coordinator selects the Voting Group, either **Application** or **Infrastructure**, and then establishes the **Scheduled Voting Close Date**.

ITSC Voting Members



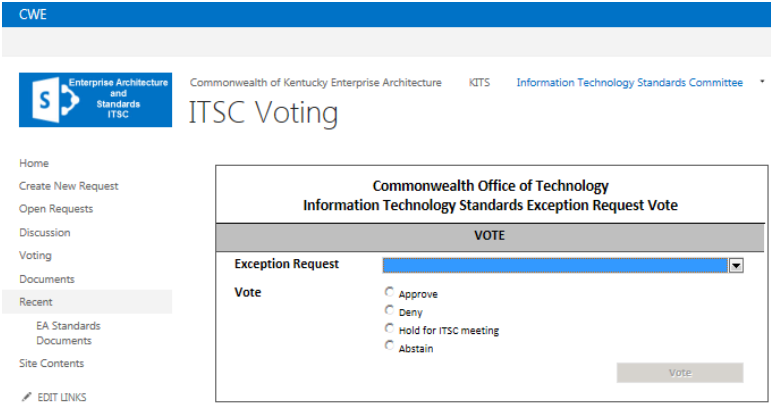
ITSC Voting Members receive email notification to vote on **Application Requests**.

The Exception Request drop-down list shows requests they are allowed to vote upon.



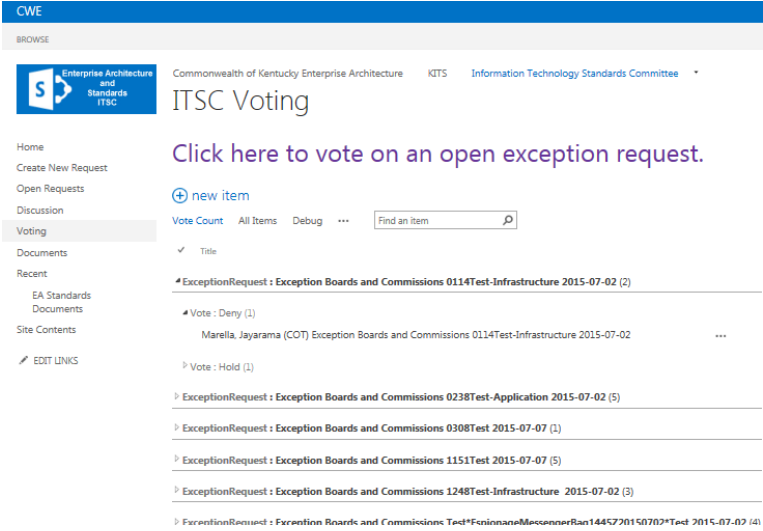
After voting, a voter can see the voting counts and who has voted.

ITSC Infrastructure Voting Members



ITSC Infrastructure Members vote on **Application** and **Infrastructure** Requests.

The Exception Request drop-down list shows requests they are allowed to vote upon.



After voting, a voter can see the voting counts and who has voted.

Tally Votes & Determine Disposition

After the Vote Close Date, the ITSC Coordinator tallies the vote and determines the request disposition. If an exception is approved an ITSC number is assigned, the Discussion Group is closed, Voting is closed, and notifications of outcome are sent to Requestor, Agency Approver, ITSC Voting members, and Domain Architects.

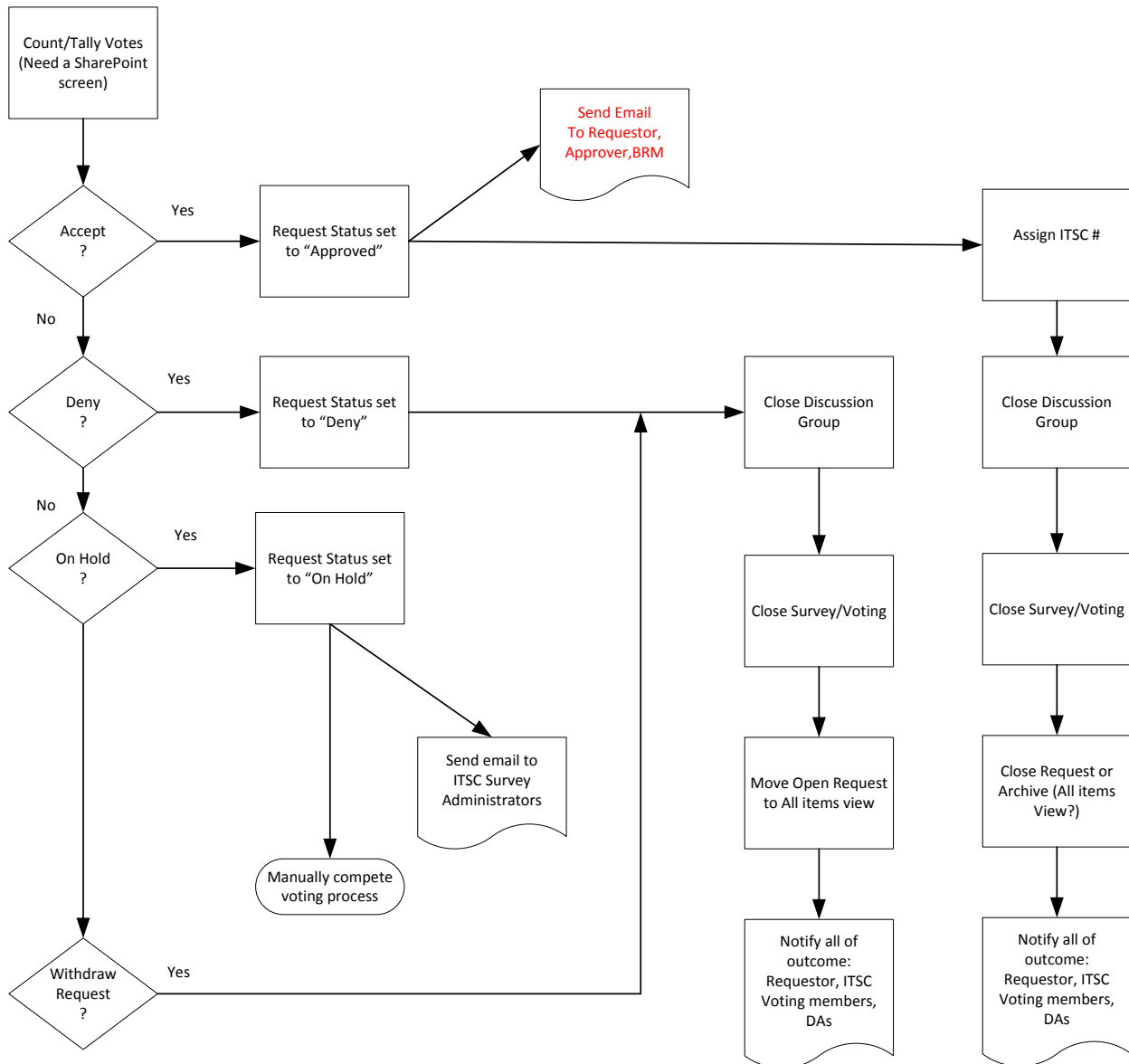


Figure 3 - Tally Votes & Determine Disposition

Setting SharePoint Alerts on SharePoint Lists

To stay updated when documents or items on a SharePoint site change, set up alerts.

Setting Alerts In SharePoint

- Recommend you set Alerts On (All Changes) (Requests, Voting, Discussion)

- 1 Navigate to page within ITSC site
- 2 Select list view at top of page
- 3 Select alert me
- 4 Select OK

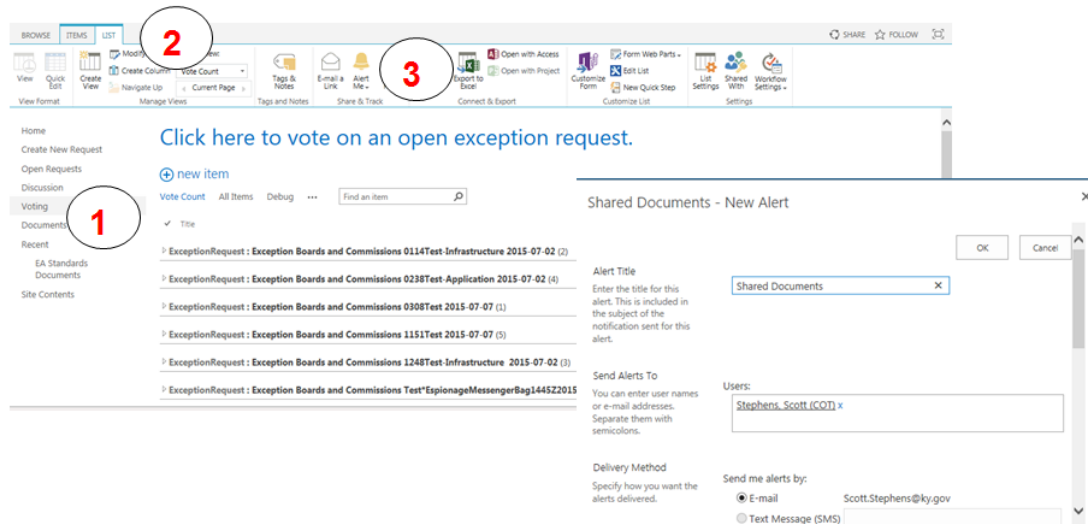


Figure 4 – SharePoint Alerts

The above graphic highlights the steps to set up an alert on a document library. For further information on setting alerts see this links:

How to create and modify User Alerts (SharePoint 2013)

<https://www.youtube.com/watch?v=U8qcdjk15Cw>

Create an alert or subscribe to an RSS feed

<https://support.office.com/en-ca/article/Create-an-alert-or-subscribe-to-an-RSS-feed-e5a79e7b-a146-46da-a9ef-d65409ba8918>